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YAVAPAI COUNTY ATTORNEY'S OFFICE 1 DENNIS M. McGRANE, SBN 015186 2 CHIEF DEPUTY COUNTY ATTORNEY 255 East Gurley Street 3 Prescott, AZ 86301 Telephone: 928-771-3344 4 ycao@co.yavapai.az.us 5 6 7 8 STATE OF ARIZONA, 9 10 v. 11

JEANNE HICKS, CLERK B. Chamberlain

IN THE SUPERIOR COURT OF STATE OF ARIZONA

IN AND FOR THE COUNTY OF YAVAPAI

Cause No. P1300CR20081339 Plaintiff, Division 6 STATE'S MOTION FOR RECONSIDERATION OF SANCTION STEVEN CARROLL DEMOCKER, IMPOSED JULY 26, 2010 FILED JULY **28, 2010** AND REQUEST FOR Defendant. **EVIDENTIARY HEARING AND** MOTION TO UNSEAL RECORDS OF EX PARTE PROCEEDINGS **FILED UNDER SEAL**

The State of Arizona, by and through Sheila Sullivan Polk, Yavapai County Attorney. and her deputy undersigned, requests that this Court reconsider its "Under Advisement Ruling Re: Defendant's Motion to Preclude Late Disclosed Evidence from the State's 59th through 62nd Disclosures" dated July 26, 2010 and filed July 28, 2010 ("Ruling") (Exhibit A). In addition to reconsideration, the State again requests that an evidentiary hearing be conducted regarding the payment of monetary sanctions. The State requests that such evidentiary hearing take place after the trial and are completed. Additionally, the State requests that the record of the ex parte proceedings that were conducted

on July 10, 2009 (and any other ex parte proceeding that have occurred without the State's knowledge) be unsealed. These requests are based on the following:

Motion for Reconsideration

The State incorporates by reference its June 21, 2010 Response to Defendant's Supplemental Request Regarding Sanctions ("Response") (Exhibit B). In its Response the State requested an evidentiary hearing be held in the event monetary sanctions were awarded. Without addressing the State's request for an evidentiary hearing, Judge Lindberg determined that \$850.00 in "additional incremental costs" should be paid directly to John Sears "for distribution as defense team deems appropriate."

The order is unclear regarding what the "additional incremental costs" comprise, i.e., whether these costs are to reimburse Defendant for attorney's fees, expert witness fees, travel reimbursement or other miscellaneous costs as originally requested by Defendant. Without this explanation, the propriety of the Court's order is left to question, mainly because the Court conducted an ex parte proceeding without the State's knowledge. Because the State does not currently possess the appropriate information, it is simply unable to determine from the Court's Ruling what the "additional incremental costs" represent. That is important because the taxpayers of Yavapai County may have already paid for these "additional incremental costs" and the \$850.00 sanction would therefore be wholly inappropriate under that circumstance.

Most importantly, the State questions the propriety of paying any mone

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evidentiary hearing conducted after the trial and the best answer to all the issues raised in this dual motion (see below).

Motion to Unseal Ex Parte Proceedings

An additional consideration for this entire matter relates to the July 10, 2009 ex parte hearing held between Judge Lindberg and the defense team without prior knowledge of the State. Upon information and belief, Judge Lindberg conducted an ex parte hearing in which he found Defendant to be indigent. Judge Lindberg conducted this ex parte proceeding without proper notice to the State or the victims.

Defendant's behalf for the period July 10, 2009 through April 16, 2010. If the County is already paying for Defendant's costs and fees, the ordered \$850.00 should be reimbursed to the County, not to Mr. Sears and members of the defense team.

There are several problems with this situation. The first is that the propriety of an exparte hearing relating to defendant's indigency and requests for payments of costs and/or fees is called into question by both *State v. Apelt*, 176 Ariz. 349, 861 P.2d 634 (1993) and the recent case of *Morehart v. Barton*, --- P.3d ---, 2010 WL3177885 (App. August 12, 2010). Not to mention the fact that a determination of indigent status is a public matter under Rule 6.4 of the Rules of Criminal Procedure. No explanation has been provided as to why such a matter is appropriately heard ex parte. Additionally, this ex parte hearing appears to have

been conducted in violation of E.R. 3.5 of the Rules of Professional Conduct and Rule 2.9 of Canon 2 of the Canons of Judicial Conduct.

If this ex parte hearing is alleged to have been conducted under the authority of Rule 15.9 of the Arizona Rules of Criminal Procedure, then the appropriate steps were not followed as specifically outlined in the Rule. In subsection (b), it provides that there will not be any ex parte proceeding "unless a proper showing is made concerning the need for confidentiality." As demonstrated in the *Morehart* decision, that "proper showing" is not done ex parte, but rather with the State and victims having input. This important step in the process was skipped entirely, resulting in the violation of Rule 15.9, which necessarily means E.R. 3.5 and Canon 2 were violated by counsel and Court, respectively.

This situation must be remedied without further delay. The bottom line is that all proceedings in this matter that have proceeded ex parte must be unsealed by this Court.

Because the records of the July 10, 2009 ex parte proceeding in particular will likely shed further light on the situation regarding the financial sanction in this case and this hearing was improperly conducted without the State being present, the State moves that this hearing in particular, and all other unknown ex parte proceedings in general, be unsealed.

Conclusion

The State requests that this Court unseal all ex parte proceedings in this matter.

Additionally, the State requests that this Court reconsider its Ruling and, after conclusion of the trial and conduct an evidentiary hearing regarding the propriety of the State paying Mr. Sears or members of his defense team any sum of money whatsoever given the circumstances that exist at this time.

Phone: (928) 771-3344 Facsimile: (928) 771-3110	1	RESPECTFULLY SUBMITTED this 8th day of September, 2010.
	2	Sheila Sullivan Polk
	3	YAVAPALCOUNTY ATTORNEY
	4	Byr Dennis M. McGrane
	5	Chief Deputy County Attorney
	6	COPIES of the foregoing delivered this
	7	8th day of September, 2010 to:
	8	Honorable Thomas B. Lindberg Division 6
	9	Yavapai County Superior Court
	10	(via email)
	11	Honorable Warren Darrow Acting Division 6
	12	Yavapai County Superior Court (via email)
	13	
	14	John Sears 511 E. Gurley St.
	15	Prescott, AZ 86301 Attorney for Defendant
	16	(via email)
	17	Larry Hammond
	18	Anne Chapman Osborn Maledon, P.A.
	19	2929 North Central Ave, 21 st Floor Phoenix, AZ
	20	Attorney for Defendant (via email)
	21	(Via simal)
	22	By: MM Zane
	23	
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SUPERIOR COURT, STATE OF ARIZONA, IN AND FOR THE COUNTY OF YAVAPAI

STATE OF ARIZONA
(Plaintiff)

Case No. P1300CR20081339

DATE: JUL 2 8 2010

O'Clock P M.

FILED

VS.

UNDER ADVISEMENT RULING
Re: Defendant's Motion to
Preclude Late Disclosed
Evidence from the State's 59th
through 62nd Disclosures

JEANNE HICKS, CLERK

BY: SHEETAL PATEL

Deputy

(Defendant)

STEVEN CARROLL DEMOCKER

HONORABLE Thomas B. Lindberg

BY: Robin Gearhart / Judicial Assistant

Division Six

DIVISION SIX

DATE:

July 26, 2010

On April 15, 2010, State of Arizona filed State's 59th Supplemental Disclosure; April 16, 2010 State's 60th Supplemental Disclosure; and April 21, 21010 State's 61st and 62nd Supplemental Disclosures. On April 30, 2010, Defendant, through counsel, filed a Motion to Prelude Late Disclosed Evidence, Witnesses and Exhibits from the State's 59th through 62nd Disclosures.

At a hearing on May 11, 2010, the Court heard argument with regard to Defendant's Motion, specifically Section 6: Sorenson, and took the matter *under advisement*. The Court advised it will consider what sanction to impose, which may include a reimbursement of the Defense expert's costs. In addition, the Court directed Defense Counsel to provide the Court with information regarding the Defense expert's expense in going to Sorenson and being present for the testing.

Subsequent to above, additional Motions were filed by the State and Defense which have been reviewed by the Court.

This Judge, Honorable Thomas B. Lindberg, has pendant jurisdiction regarding the *under advisement* issue of financial sanctions though the case has now been assigned to the Honorable Warren R. Darrow.

The full costs of defense attorneys and experts are not awarded since the costs were to be expended in any event; but additional incremental costs were sustained by the failure of the State/County Attorney's Office, or agents, to follow the Orders of the Court regarding handling of scientific evidence.

JUL 28 2010

Thus, in addition to other sanctions considered,

IT IS HEREBY ORDERED the Yavapai County Attorney shall pay to Defendant, via the offices of John M. Sears, the amount of \$850.00 for distribution as defense team deems appropriate. Such payment to be made within forty-five (45) days from date of this Order.

DATED: This 26th day of July, 2010.

Honorable Thomas B. Lindberg

Judge of the Superior Court / Division 6

ATTAChment (Certification)

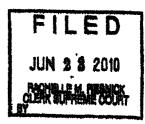
cc: Joseph C. Butner III, Esq., Office of the Yavapai County Attorney (via facsimile to 928-771-3110)

John M. Sears, Esq., 107 North Cortez Street, Suite 104, Prescott, Arizona 86301 (via facsimile to 928-445-1472)

Larry A. Hammond, Esq., Anne M. Chapman, Esq., Osborn Maledon, P.A., 2929 North Central Avenue, 21st Floor, Phoenix, Arizona 85012-2793 (via facsimile to 602-640-6076)

Dean Trebesch, Contract Administrator, Office of the Yavapai County Public Defender (via facsimile to 928-771-3413)

Victim Services: Attn. Marie Martinez



CERTIFICATION

As Chief Justice of the Supreme Court of Arizona, pursuant to A.R.S. § 12-128.01, I hereby certify to the following regarding The Honorable Thomas B .Lindberg, Judge, Superior Court in Yavapai County.

Judge Lindberg has requested that application of A.R.S. § 12-128.01 be excused in the following currently pending and undetermined matters:

State v. Steven Carroll DeMocker P1300CR20081339

State v. Rey David Villegas-Munoz P1300CR20081137

State v. Shawn Christian Reel P1300CR20090148

Judge Lindberg advises that due to a serious medical emergency that occurred on June 17, 2010, he is requesting an extension to the 60-day Rule.

I find that the reason provided by Judge Lindberg constitutes good and sufficient cause for excusing the application of A.R.S. § 12-128.01.

This certification shall remain in effect until August 23, 2010.

Dated this 23rd day of June, 2010.

REBECCA WHITE BERCH

Chief Justice

Hon. Robert M. Brutinel, Presiding Judge, Superior Court in Yavapai County
Hon. Thomas B. Lindberg, Judge, Superior Court in Yavapai County
Jeanne Hicks, Clerk of the Court, Superior Court in Yavapai County
Don Bentley, Financial Officer, Finance, Administrative Office of the Courts
Payroll, Administrative Office of the Courts
Yavapai County Finance Department — Payroll

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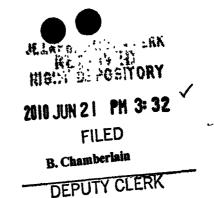
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YAVAPAI COUNTY ATTORNEY'S OFFICE DENNIS M. McGRANE, SBN 015186 CHIEF DEPUTY COUNTY ATTORNEY 255 East Gurley Street Prescott, AZ 86301 Telephone: 928-771-3344 ycao@co.yavapai.az.us



IN THE SUPERIOR COURT OF STATE OF ARIZONA

IN AND FOR THE COUNTY OF YAVAPAI

STATE OF ARIZONA,

٧.

Cause No. P1300CR20081339

Plaintiff,

Division 6

STEVEN CARROLL DEMOCKER.

STATE'S RESPONSE TO DEFENDANT'S SUPPLEMENTAL REQUEST REGARDING SANCTIONS DATED JUNE 10, 2010

Defendant.

The State of Arizona, by and through Sheila Sullivan Polk, Yavapai County Attorney, and her deputy undersigned, hereby responds to Defendant's Supplemental Request Regarding Sanctions dated June 10, 2010. The State incorporates its previous responses where applicable on the issues presented herein, and specifically its Response to Defendant's Motion to Strike the Death Penalty filed May 25, 2010.

MEMORANDUM OF POINTS AND AUTHORITIES

On May 14, 2010 Defendant filed his original request for sanctions regarding the evidence specific to this Supplement (see "Motion to Strike the Death Penalty or in the Alternative to Preclude Evidence and for Other Sanctions Based on Destruction of Biological Evidence, False Reporting of Biological Evidence Results and Defiance of this Court's Orders" filed May 14, 2010). The alleged disclosure violations set forth in this particular motion were

that (1) the State failed to diligently conduct biological testing; (2) Sorenson Laboratory swabbed the handle bars and sides of the seat of Defendant's bicycle and consumed the swab without Defendant's knowledge or a Court order; and (3) an error was made in one of the Sorenson Laboratory reports which did not come to light until defense counsel interviewed the expert.

If the Court found that a discovery violation occurred, Defendant's requested relief was

(1) dismissal of the death penalty; (2) precluding testimony about this testing on Defendant's

bicycle; and (3) a Willits instruction on the consumptive testing. Id. at 11. Defendant stated
that imposing a sanction of costs was insufficient for these alleged disclosure violations. Id.

However, he stated that if the Court was inclined to consider imposing costs, Defendant wanted
reimbursement for (1) all of Testing 2) costs and expenses for counsel to prepare for
and conduct the Sorenson interviews; (3) travel to Salt Lake City to perform the Sorenson
interviews; and (4) counsel's time in litigating the issues. Id.

On May 25, 2010 the State responded that (1) the parties and the Court are aware that a number of items have been biologically tested over the last several weeks, some pursuant to Court order; (2) the State authorized Sorenson Laboratory to conduct consumption testing of one bicycle swab but there remained hundreds of places available on the bicycle for serology testing; and (3) the error in the Sorenson Laboratory report was exculpatory and Defendant was not prejudiced by the error.

On May 26, 2010 the State withdrew its allegation of the death penalty.

A hearing was held on May 28, 2010 on the motion for sanctions. The Court found that the consumption of the swab without first notifying the defense or obtaining permission of the Court was in violation of the Court's previous order. TR 5/28/10 at 19. The Court held that

such consumption was a discovery violation and precluded the use of that testing in trial. Id.

The Court did not find any late disclosure violation or that the error in the lab report was sanctionable. Id. at 19-20. The Court took Defendant's request for financial sanctions under advisement. Id. at 20. The instant Supplement and this Response are directed to the matter of financial sanctions.

A. <u>Defendant did not believe monetary sanctions were appropriate under the circumstances.</u>

In the event the Court found a discovery violation by the State, Defendant's first requested sanction was a dismissal of the death penalty. (5/14/10 Motion at p. 11) The State on its own motion did withdraw the death penalty allegation. Defendant's second request was that any reference to the bicycle testing be precluded. The Court ordered that the test results were precluded. Defendant's third request was that a *Willits* instruction be given regarding the consumption of the swabs. All evidence from the bicycle has not been lost and is available for Defendant's use if he so desires. A *Willits* instruction is not appropriate. Defendant stated that imposing sanctions of costs was an insufficient sanction for any disclosure violation. However, after getting exactly what he wanted for the one found violation, he now wants more.

B. <u>Defendant now wants \$50,000 in monetary sanctions for the consumption of a bicycle swab that could be recreated by Defendant's expert at any time.</u>

For the Court's convenience, set forth below is the applicable portion of the State's Response regarding the consumption of the bicycle swab.

According to an interview of administrative lead, Dan Hellwig of Sorenson Laboratory conducted on May 24, 2010, the subject bike was delivered to them on or about February 17, 2010 by Captain Rhodes. On February 18, 2010 a meeting involving Captain Rhodes, Dan Hellwig and Carma Smith was held and memorialized in case notes from the Sorenson file. Although the bike was now in the custody of Sorenson Laboratory, no

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decision was made at this time to conduct DNA testing on it. ... In fact, according to Mr. Hellwig's recent interview, he did not believe any further testing was going to be conducted on the bike.

On or about March 31, 2010 a serology test consisting of the swabbing of the handle bars and the sides of the bike seat was done. This swabbing was done outside of the presence of defense's observer that the Hellwig stated there was no attempt to keep the serology test from the Hellwig explained that since they were not conducting consumption testing of the swabs from the bike, it did not fall under the underlying court order. He stated the serology test done on specific areas of the bike was done so he could return the large evidence item bike back to Captain Rhodes. Captain Rhodes was at the Sorenson Laboratory as the State's observer while the consumption testing was been conducted. Captain Rhodes had no involvement in the Sorenson Laboratories decision to perform a serology on the bike.

The swab from the bike was stored in Sorenson's freezer. On or about April 8, 2010 the State authorized Sorenson Laboratory to conduct consumption testing of the swab for possible Y-STR DNA. The DNA tests on the swab were not conducted in secret nor were they conducted while was at the lab.

While the individual swab was consumed, not all areas of the handlebars or the seat or all of the other surfaces of the bike were swabbed for biological material. If it is Defendant's claim that he is somehow precluded from conducting independent DNA testing on the bike because the State consumed the one swab, this contention is without merit. There are literally hundreds of places available on this bike for serology testing.

purpose was to observe testing on swabs where all the biological material available would be consumed. Clearly, this is not the case with the bike. Obviously, Defendant's claim that the State consumed all of the biological evidence from Evidence Item 400 (Defendant's mountain bike) in defiance of the Court's Order is untrue.

5/25/10 Response at pp. 3-4 (emphasis added).

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In this Supplement, Defendant requests \$49,230.31 in monetary sanctions which he alleges flows from the one discovery violation found by the Court. His argument cannot be viewed in good faith.¹

Defendant requests reimbursement of \$7,070.46 for the costs associated with defense observer to travel to Salt Lake City and observe scientific testing which involved the consumption of the collected evidence. As noted on page 6 of Defendant's May 14, 2010 Request for Sanctions was present for three days of DNA testing at the Sorenson Laboratory in Salt Lake City commencing March 30, 2010. He specifically states that "[m]any items of evidence were examined during these days ... including the fingernails, the telephone. the door handle, hair from the victim's shorts, etc." Id. at lines 15-18. Defendant shamelessly requests full reimbursement for all d expenses even though she performed all of the obligations for which she was hired. did not travel back to the Sorenson Lab to observe the consumption of the bicycle swab which was performed days after she left Salt Lake City. No additional costs were incurred by due to the consumption.

Defendant also requests to be reimbursed \$40,143.00 for 99.1 hours (\$405.00 per hour) spent on trial preparation interviews of the Sorenson Laboratory employees and experts.

Defendant admits that the time spent included time spent with defense experts, review of Sorenson materials, preparation for interviews and travel. Defense counsel would have incurred that time whether or not the State mistakenly authorized Sorenson Laboratory to

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Good faith. Good faith is an intangible and abstract quality with no technical meaning or statutory definition, and it encompasses, among other things, an honest belief, the absence of malice and the absence of design to defirated or to seek an unconscionable advantage, and an individual's personal good faith is concept of his own mind and inner spirit and, therefore, may not conclusively be determined by his protestations alone. Honesty of intention, and freedom from knowledge of circumstances which ought to put the holder upon inquiry. An honest intention to abstain from taking any unconscientious advantage of another, even through technicalities of law, together with absence of all information, notice, or benefit or belief of facts which render transaction unconscientious. Black's Law Dictionary, Abridged Fifth Edition, 1983, West Publishing Co.

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consume the swab of the bicycle. Similarly, the \$2,036.85 incurred in travel expenses for these two attorneys would have been expended in any event.

C. The maximum monetary sanction available under the facts is a small fraction of that requested.

If Defendant is entitled to monetary sanctions, it should be limited to the approximate 15 minutes to one-half hour one defense counsel spent interviewing the Sorenson employees regarding their decision to obtain the swab and the State's authorization to consume it. It is noted that at no time did the State attempt to "hide the ball" from Defendant and no fees can be associated with trying to "get to the bottom" of the matter.

In State v. Meza, 203 Ariz. 50, 50 P.3d 406 (App. 2003) the defendant was entitled to restitutionary monetary sanctions to alleviate costs undertaken due to discovery violations. The defendant was entitled to certain costs because a state expert intentionally gave false testimony regarding the deletion of ADAMS database results for the calibration checks of the Intoxilyzer 5000 machine used to determine the defendant's alcohol concentration. The expert claimed that he was unaware that test results could be deleted from the ADAMS database, when he in fact had personally deleted several such results. 203 Ariz. at 52, ¶ 5, 50 P.3d 409. The Court of Appeals found that it was "apparent that hundreds of hours of time, with commensurate costs, were wrongfully thrust upon [the defendant] and his counsel by the State" for failing to disclose the deleted test results. 203 Ariz. at 58-59, ¶ 38, 50 P.3d at 415-16. The case was remanded "with instructions to the trial court to assess, as an additional discovery sanction, the reasonable costs and fees that the defense has incurred as a consequence of the sanctionable conduct of the State." 203 Ariz. at 59-60, 50 P.3d at 416-17.



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In this case, Defendant requests reimbursement for fees and costs not associated with the State's authorization to consume a swab. Rather, he requests reimbursement for all costs associated with an effective defense attorney's normal obligations to review evidence and interview experts prior to trial. His request for \$50,000.00 based upon the facts of this case is unconscionable, lacks in good faith, and is sanctionable conduct in and of itself.

CONCLUSION

The State's authorization of the consumption of the bicycle swab was not done to obtain any advantage over Defendant. There remained hundreds of places available on the bicycle for serology testing. If it was done in violation of the Court's order, it was unintentional.

Nevertheless, the Court did find that the State violated its previous order, and the State accepts its order precluding it from introducing evidence of the testing if the trial continues as scheduled.

The \$50,000 Defendant requests in monetary sanctions for consumption of the swab, however, bears no relationship to the found discovery violation. Defendant's request should be denied without further argument.²

RESPECTFULLY SUBMITTED this 21st day of June, 2010.

Sheila Sullivan Polk
YAWAPAI COUNTY ATTORNEY

Dennis M. McGrane

Chief Deputy County Attorney

² Should the Court determine monetary sanctions are appropriate, a hearing will need to be held to determine to whom the money should be paid as it is believed that the taxpayers of Yavapai County are paying defense attorney fees at this point in time.



1	COPIES of the foregoing delivered this 21st day of June, 2010 to:
2	21st day of Julie, 2010 to.
3	Honorable Thomas J. Lindberg Division 6
4	Yavapai County Superior Court (via email)
5	
6	John Sears 511 E. Gurley St.
7	Prescott, AZ 86301 Attorney for Defendant
8	(via email)
9	Larry Hammond Anne Chapman
10	Osborn Maledon, P.A.
11	2929 North Central Ave, 21 st Floor Phoenix, AZ
12	Attorney for Defendant (via email)
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